

How to Develop a Continuity of Operations Plan Using the VDEM COOP Planning Guide

Sponsored by

Virginia Department of Emergency Management

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Introductions

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Agenda

Today's training session:

- Follows ***COOP Planning Manual***
- Designed to be conducted in modules

Training Modules

- Introduction to COOP Planning
- Project Initiation
- Identification of Functional Requirements
- Design and Development
- Implementation
- Maintenance



Emergency Planning: A National Security Priority



"Our cities must have clear and up-to-date plans for responding to natural disasters, disease outbreaks, or terrorist attack ... for evacuating large numbers of people in an emergency ... and for providing the food, water, and security they would need."

"I consider detailed emergency planning to be a national security priority."

President Bush
New Orleans, September 15, 2005



Emergency Planning: Potential Threats

Natural

Ice Storm

Severe Winds

Tornado

Hurricane

Earthquake

Both

Flood

Fire

Disease

Man-Made

Internet Virus

Cyber Attack

Agro-terrorism

Chemical Explosion

Water Poisoning

Aircraft Strike

Radiological

Bio-Terrorism



What is Continuity of Operations Planning?

Continuity of Operations Planning: The effort to assure that the capability exists to continue essential agency functions across a wide range of potential emergencies. Essentially, the process of maintaining the business of government.

Continuity of Government: Preservation of the institution of government. Maintaining leadership, through succession of leadership, delegation of authority and active command and control. The lack of leadership can lead to anarchy or unlawful assumption of leadership. Continuity of Government is integrated as a critical element in the comprehensive COOP plan.



Continuity of Operations Planning Guidance

Jurisdictions must be prepared to continue their minimum essential functions throughout the spectrum of possible threats from natural disasters through acts of terrorism. COOP planning facilitates the performance of State and local government and services during an emergency that may disrupt normal operations.

COOP planning goals should include an all-hazards approach, the identification of alternate facilities, the ability to operate within 12 hours of activation, as well as sustain operations for up to 30 days.

FEMA, Introduction to State and Local
EOP Planning Guidance, August 2002



State of Virginia Guidance

Executive Order 7 (2002)

“All executive branch agencies directed to prepare emergency response plans or updates to existing plans that address continuity of their operations and services, and the security of their customers and employees, in the event of natural or man-made disasters or emergencies, including terrorist attacks.”

Governor's Management Objectives for 2004-2005

(To be accomplished no later than December 2005)

Emergency Preparedness

“Achieve 100% preparation and testing of agency Continuity of Operations Plans and receive state-level emergency management accreditation through the national certification process”



State of Virginia Guidance

Executive Order 69 (2004)

“All executive branch agencies directed to exercise and test their COOP plans on or before Sept 1, 2005.”

§ 44-146.18 Code of Virginia (2005)

“The ... Department of Emergency Management shall in the administration of emergency services and disaster preparedness programs ... provide guidance and assistance to state agencies and units of local government in developing and maintaining emergency management and continuity of operations (COOP) programs, plans and systems...”



Emergency Management Accreditation Program / NFPA

- The Emergency Management Accreditation Program (EMAP) and NFPA 1600 *Standard on Disaster/Emergency Management and Business Continuity Programs* establishes a common set of criteria for disaster management, emergency management and business continuity programs.
- American National Standards Institute (ANSI) recommended that the NFPA 1600 standard be adopted by the 9/11 Commission as the national preparedness standard.
- One of the standards defined by EMAP and NFPA 1600 is the planning standard. The standard requires a Continuity of Operations Plan.



**Governor Warner Announces
National Emergency Management
Accreditation for Virginia,
November 16, 2005**



State of Virginia Guidance

VDEM COOP Planning Manual

www.vaemergency.com



COOP Planning Objectives

- Ensure the continuous performance of a department or agency's **essential functions** during an emergency.
- Ensure the safety of employees.
- Protect essential equipment, records and other assets.
- Reduce disruptions to operations.
- Minimize damage and losses.
- Achieve an **orderly recovery** from emergency operations.
- Identify relocation sites and ensure operational and managerial requirements are met before an emergency occurs.

Introduction to Continuity of Operations

- Federal Preparedness Circular 65 COOP Planning
 - Implement COOP plans **with and without warning.**
 - Operational within **12 hours after activation.**
 - Sustain operations for up to **30 days.***
 - Regularly schedule testing, training and exercising.
 - Regular risk analysis of current alternate operating facilities.
 - Optimal location of alternate facilities.
 - Leverage existing agency field infrastructures
 - Consider the distance of the alternate facility from the primary facility.
 - Multi-year, funded program management

First COOP plan, VDEM requires agencies to sustain operations for only **14 days.*

State COOP Program

State COOP Program elements

- Authorities
- Program Administration
- Testing, Training, Exercise & Maintenance Program
- Alternate Site Standards
- State EOP Guidance on Activation of COOP Plans
- Statewide Prioritization of Essential Functions
- Integration of COOP into other Emergency Management programs



Who should be involved in COOP Planning?

- It's a team effort!
- Personnel at every level of the organization, including:
 - Senior Management
 - COOP Coordinator/Point-of-Contact (POC)
 - COOP Planning Team
 - Management and staff
 - Virginia Department of Emergency Management (VDEM)

10 Critical Elements of a COOP Plan

- Essential Functions
- Delegations of Authority
- Orders of Succession
- Alternate Facilities
- Interoperable Communications
- Vital Records
- Human Capital Management
- Tests, Training and Exercises
- Devolution
- Reconstitution

Creating a COOP plan

- 7 phases of the COOP planning process
 - Project Initiation
 - Identification of Functional Requirements
 - Design and Development
 - Implementation
 - Training, Testing and Exercises
 - Execution
 - Revision and Updating

Introduction to Continuity of Operations

- Let's review:
 - Emergency planning is a priority.
 - COOP planning ensures continuation of essential functions and an orderly recovery
 - Plan for an all-hazards approach, with or without warning
 - Planning involves staff at all levels in the organization
 - 10 critical elements of a COOP plan
 - Manual guides you through the 7 phases of COOP planning process
 - VDEM has established the State COOP Program Management and is here to help

- Next: Phase I– Initiation Phase



Phase I:

Project Initiation



Creating a COOP plan

- 7 phases of the COOP planning process



- Project Initiation
- Identification of Functional Requirements
- Design and Development
- Implementation
- Training, Testing and Exercises
- Execution
- Revision and Updating

➤ Section I



Project Initiation

- The project initiation phase consists of:
 - Appointing a COOP Coordinator
 - Organization of a COOP Team
 - Initial Project Meeting



Appointing a COOP Coordinator

- Responsibilities of the COOP Coordinator:
 - Develop short- and long-term goals and objectives.
 - Assist in the identification of planning team members.
 - Create a blueprint for developing the COOP program.
 - Identify and assist in resolving issues related to COOP plan development, activation, implementation and reconstitution.
 - Developing measurable criteria for measuring and evaluating COOP performance.
 - Acting as a liaison between the planning team and agency leaders.
 - Serving as a liaison to the COOP Steering Committee and VDEM.

Appointing a COOP Coordinator

■ Worksheet #1: COOP Leader Selection

ANNEX B

WORKSHEET #1: COOP LEADER SELECTION

The COOP team is led by an appointed COOP leader within the agency. Information on the current COOP leader is as follows.

COOP Leader Selection Documentation	
Name	<i>John Smith</i>
Date appointed as COOP leader	<i>January 12, 2005</i>
Full-time or part-time position?	<i>Part-time</i>
If part-time, state normal position held and percentage of time to be devoted to COOP activities	<i>Assistant Director, 50% of time devoted to COOP</i>
Person to whom COOP Leader reports	<i>Deputy Director Jones</i>
Brief professional background details	<i>Previous V2K project leader for the department.</i>
Normal contact details (work phone, email)	<i>Work: 804-555-1234</i> <i>John.smith@vdot.virginia.gov</i>
Emergency contact (home, cell, pager numbers)	<i>Home: 804-555-6987</i> <i>Cell: 804-555-4558</i> <i>Pager: 804-555-4236</i>
Completed by: Name	Date: <i>John Smith</i>
Reviewed by: Name	Date: <i>Director Jones</i>

➤ Annex B, Worksheet #1



Organization of a COOP Team

- COOP Team Considerations
 - Consist of a wide range of individuals from all levels and divisions or departments of an agency.
 - Consist of 8 to 10 members representing an actual mix of divisions or departments.
 - COOP team should meet regularly throughout the planning process



Initial Project Meeting

■ Topics to Cover in First Team Meeting

- COOP project team organization.
- Team's mission statement.
- Roles and responsibilities of individual members and the team.
- COOP Team objectives and deliverables.
- Project schedule.
- Project Milestones to enable progress to be tracked
- Reporting process to be issued by the COOP Coordinator to senior management.
- Review and approval process.
- Coordination with external response agencies.
- Estimate COOP planning and activation costs.

➤ **Section I.C, Worksheet # 3, 4, 5, 6, 7**



Initial Project Meeting

■ Worksheet #3: Initial COOP Project Team Meeting

WORKSHEET #3: INITIAL COOP PROJECT TEAM MEETING

The initial meeting of the COOP project team will be held at VRTC, on March 1, 2005, at 10:00AM to discuss the following:

Initial COOP Project Team Meeting Topics	
Topic	Check Off
COOP project team organization <i>Established members of COOP Team</i>	
Roles and responsibilities <i>Each team member will canvas their division and report back at the next meeting on Essential Functions</i>	
Project deliverables <i>Team members will provide complete, prioritized list of essential functions for their division.</i>	
Project deadlines <i>Next meeting date, April 20, 2005</i>	
Reporting process <i>Provide data to J. Smith by April 20, 2005</i>	
Review and approval process <i>TBD</i>	
Coordination with external response agencies <i>Each division will reach out to external agencies for coordination</i>	
Completed by: John Smith Name	Date: March 3, 2005
Reviewed by: Director Jones Name	Date: March 5, 2005

This worksheet is from the National Cooperative Highway Research Program (NCHRP) Project provided to VDEM by the Virginia Department of Transportation (VDOT).

Initial Project Meeting

■ Worksheet #4: COOP Team Mission Statement

WORKSHEET #4: COOP TEAM MISSION STATEMENT

Mission Statement	
This COOP team has been assigned by the <i>Director Jones</i> to direct development of a comprehensive continuity of operations capability. The mission of the agency is <insert mission>. Because of the importance of this planning effort, members of this team have been assigned from all major divisions/branches of the agency. The team is responsible for preparing a Continuity of Operations (COOP) plan, as well as for overseeing the process required to implement, validate and maintain a continuity capability.	
Completed by: <i>John Smith</i> Name	Date: <i>March 1, 2005</i>
Reviewed by: Name <i>Director Jones</i>	Date: <i>March 3, 2005</i>

This worksheet is from the National Cooperative Highway Research Program (NCHRP) Project provided to VDEM by the Virginia Department of Transportation (VDOT).

■ Worksheet #5: COOP Team Objectives and Deliverables

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Initial Project Meeting

- Let's review:
 - First step is to appoint a COOP Coordinator.
 - COOP Coordinator facilitates the development of the plan and leads the COOP Planning Team.
 - Establish a COOP Team should be 8- to 10-members with a mix of key personnel from the division.
 - Conduct an Initial Project Meeting to define the team's mission, set objectives, establish a schedule and milestones and define reporting process.
 - Estimate COOP planning and activation costs.
- Next: Phase II – Identification of Functional Requirements



Phase II:

Identification of Functional Requirements

***Identifying and Prioritizing
Essential Functions***



Creating a COOP plan

- 7 phases of the COOP planning process
 - Project Initiation
 - Identification of Functional Requirements
 - **Identify & Prioritize Essential Functions**
 - Identify Vital Records, Systems and Equipment
 - Name Key Personnel
 - Selecting an Alternate Facility
 - Interoperable Communications
 - Risk Assessment
 - Design and Development
 - Implementation
 - Training, Testing and Exercises
 - Execution
 - Revision and Updating



➤ Section II.A

Identification of Functional Requirements

- An assessment of the functional requirements of a COOP plan consists of:
 - Identifying Essential Functions
 - Identifying Vital Records, Systems and Equipment
 - Naming Key Personnel
 - Selecting an Alternate Facility
 - Determining the existence of Interoperable Communications

Identify Essential Functions

- Essential Functions are the agency's business functions that must continue with no or minimal disruption.
- Use a four-step approach to identify essential functions:
 - Identify all functions
 - Identify essential functions
 - Determine essential function resource requirements
 - Prioritize essential functions

Identify all functions

- Identify areas of responsibility using
 - agency's mission statement,
 - values,
 - goals and objectives,
 - organizational chart,
 - a review of agency operating procedures, and
 - legal authorities.

Identify Essential Functions

- Determine criteria for selecting essential functions
- Criteria based on review of emergency response plans, emergency operating procedures, and brainstorming sessions.
- Review the Virginia Emergency Operations Plan to identify functions required during a disaster.
- After completing Worksheet #12, go back to Worksheet #11 and mark essential functions.

➤ Section II.A.2, Worksheet # 11, 12



Determine Essential Functions Resource Requirements

- Examine processes and services that support essential functions.
- Determine if essential functions have time or calendar components.
- Determine what critical processes or services, personnel, records, equipment and resources needed.
- Determine the senior management and technical personnel needed to carry out essential functions.

➤ Section II.A.3 Worksheets # 13, 14, 15



Determine Essential Functions Resource Requirements

■ Worksheet #13: Essential Function Questionnaire

WORKSHEET #13: ESSENTIAL FUNCTION QUESTIONNAIRE

Essential Function Questionnaire												
Building on the results documented in Worksheet #11, the objective of this worksheet is to further evaluate essential agency functions and develop measures to minimize. If, at any point, the function is determined NOT to be essential, it is not necessary to complete the questionnaire for that function.												
Area of Responsibility: <u>Maintenance of highway/track</u>												
Function: <u>Visual inspection of track</u>												
Services this function provides: <i>function supports normal emergency response activities as planned by the local/regional emergency management agency</i>												
Other agency functions and other agencies that depend upon this function: <i>none</i>												
(Use reverse side if additional space is needed)												
1. The loss of this function would have the following effect on the agency:												
<input type="checkbox"/> Catastrophic effect on the agency or some divisions <input type="checkbox"/> Catastrophic effect on one division <input checked="" type="checkbox"/> Moderate effect on the agency <input type="checkbox"/> Moderate effect on some divisions <input type="checkbox"/> Minor effect on the agency or some divisions												
2. How long can this agency function continue without its usual operation of information systems and telecommunications support? Assume that loss of support occurs during your busiest, or peak, period. Check one only.												
Check	Period of Time	Check	Period of Time	Check	Period of Time							
	Hours		Up to 3 days		Up to 3 weeks							
X	Up to 1 day		Up to 1 week		Up to 4 weeks							
	Up to 2 days		Up to 2 weeks		Other (specify)							
Indicate the peak time(s) of year and/or a peak day(s) of the week and/or peak time of the day, if any, for this function or its associated applications.												
(Month)	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec
(Day)	Sun	Mon	Tue	Wed	Thu	Fri	Sat					
(Hour)	1	2	3	4	5	6	7	8	9	10	11	12
(Military time)	13	14	15	16	17	18	19	20	21	22	23	24
ALL												
3. Are there any other peak load or stress considerations?												

Determine Essential Functions Resource Requirements

■ Worksheet #13: Essential Function Questionnaire

4.	Have you developed/established any backup procedures (manual or otherwise) to be employed to continue agency functions in the event that the associated applications are not available? Consider how much data you can afford to lose. Consider data and/or applications on hard drives, CD-ROMs, floppy drives, Zip drives, as well as paper data. <i>No, manual process</i>

	If yes, how often have those procedures been tested? <i>n/a</i>

5.	The loss of this function would have the following legal ramifications due to regulatory statutes, contractual agreements, or law: (Specify the area of exposure) <i>Undetermined at this time</i>

6.	The loss of this function would have the following negative impact on personnel in this agency: <i>Undetermined at this time</i>

7.	The loss of this function would keep us from supplying the following services to the public and other entities: <i>safe transverse of state highways</i>

8.	Specify any other factors that are to be considered when evaluating the impact of the loss of the function:

9.	Are there ANY other dependencies (partner, vendor, software, unique resources, etc.) not already identified above?

10.	Does an analysis of the responses to the above questions indicate that this function is still to be considered "essential" to the agency? If yes, indicate below when such label is appropriate:
	Always _____ <input checked="" type="checkbox"/> _____
	During the following period of the year: _____
	During the following time of the month: _____
	During the following time of the week: _____
	Other time period. Specify: _____

Prioritize Essential Functions

- Critical processes or services are those that must be resumed within 24 hours
- Secondary processes must be resumed as quickly as possible after a disruption
- Determine the time criticality for each function
 - Time criticality: the amount of time that function can be suspended before it adversely affects the organization's core mission
 - Recovery Time Objective (RTO): period of time within which systems, processes, services or functions must be recovered after an outage

Identify & Prioritize Essential Functions

- Let's review 4-step process:
 - Identify all functions.
 - Identify essential functions.
 - Determine resource requirements for essential functions.
 - Prioritize essential functions. Consider time criticality and recovery time objectives.

- Next: Phase II – Identify Vital Records, Systems & Equipment



Phase II:

Identification of Functional Requirements

Vital Records, Systems and Equipment



Creating a COOP plan

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 - **Identify Vital Records, Systems and Equipment**
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➤ Section II.B

Identify Vital Records

- List vital records needed to continue essential functions for at least 14 days.
- Only a small percentage of the records are essential to emergency operations or that are difficult or impossible to replace.
- The length of time a record is retained is not a key factor to whether it is vital.
- Vital records may be in any format or medium.
- Consideration must be given to the technology required to access the information.

Identify, Select and Arrange for Protection Methods

- Current methods of protection and preservation may be sufficient.
- Review current backup and retention schedules for each vital record.
- Consider storing duplicate files off-site or upgrading the current storage facilities.
- Consider regular back up and transfer of files to an alternate location.

Identify Restoration and Recovery Resources

- Vital records are often integrated with information technology systems and equipment .
- Agencies should consult with their IT staff for recovery of vital electronic records.
- COOP teams should also identify restoration and recovery resources for non-electronic records.

Identify Restoration and Recovery Resources

■ Worksheet #19: Restoration and Recovery Resources

WORKSHEET #19: RESTORATION AND RECOVERY RESOURCES

Identify all record recovery and restoration resources, contact information and services available below. Include evening, holiday, and emergency/alternate contact information, as well as contact information for regular business hours.

Company Name	Contact Name	Address / Phone	Services
Library of Virginia	Conservation Dept. Contact: Jane Doe	800 East Broad Street Richmond, Virginia 23219-8000 804-692-3500 Monday - Saturday 9:00 AM until 5:00 PM. Closed on weekends and holidays	Consulting; limited damage assessment and restoration of paper records.
Data Recovery Systems, Ltd.	Main contact: Bill Jones Alternate contact: Mary Smith	W: 12 South St, Fifty-Five, PA (555) 555-1212 Pager: 555-555-1111 Cell: 555-555-9999 On-call person carries the pager, Bill or Mary always has it.	Copying of backup tapes for distribution to multiple alternate sites; Troubleshooting assistance in-person promised 2-hour response.

Vital Systems and Equipment

- Critical systems and equipment are essential to emergency operations or to the continuance of critical processes and services for a minimum of 14 days.
- The IT component of any organization plays a vital role in COOP planning.
- Not all equipment is electronic, i.e., transportation systems, phones, vehicles, medical equipment, etc.
- Goal is to have a non-technical employee recover system in an emergency.

➤ Section II.B.2



Identify Vital Systems & Equipment

- Identify those systems and equipment that are essential to the functioning of the agency and the continuance of the agency's mission.
- Not every system or piece of equipment is vital, even if it is important.
- Prioritize how systems and equipment should be recovered in the event of a disruption.
- Consider if a system or piece of equipment is dependent on another for operation.
- Review the list of vital systems and equipment and assess the best method of protection.
- Include maintenance programs that regularly test these systems and equipment.

Identify Vital Records, Systems & Equipment

- Let's review:
 - Vital records can be paper, electronic or microfilm.
 - List vital records needed to continue essential functions for at least 14 days.
 - Document current methods for protection and preservation of vital records, including backup and retention schedules.
 - Vital records are closely integrated with IT systems.
 - Identify the systems and equipment needed to perform essential functions.
 - Arrange for protection methods for vital records, critical systems and equipment

- Next: Phase II – Name Key Personnel



Phase II:

Identification of Functional Requirements

Name Key Personnel



Creating a COOP plan

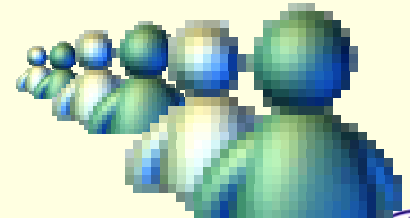
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➤ Section II.C

Name Key Personnel

- Each essential function has associated key personnel and positions that are necessary to the continuity of operations.
- Without these key personnel, the organization will not be able to meet customer needs or fulfill its essential functions.
- A comprehensive COOP plan always includes a succession planning in the event these key positions suddenly become vacant.
- Naming key personnel consists of two components:
 - delegation of authority.
 - orders of succession.



Delegation of Authority

- Delegations of authority specify who is authorized to make decisions or act on behalf of the department or agency head.
- Delegation of authority planning involves:
 - Identify which authorities can and should be delegated.
 - Describe the circumstances under which the delegation would be exercised, including when it would become effective and terminate.
 - Identify limitations of the delegation.
 - Document to whom authority should be delegated.
 - Ensure officials are trained to perform their emergency duties.

Identify Authority to be Delegated

- Two categories of authority in a delegation of authority:
 - **emergency authority:** ability to make decisions related to an emergency (i.e. COOP activation)
 - **administrative authority:** make decisions that have affects beyond the duration of the emergency.



Identify Authority to be Delegated

■ Worksheet #22: Matrix For Listing Delegation of Authority

WORKSHEET #22: MATRIX FOR LISTING DELEGATION OF AUTHORITY

In developing this list, the agency can review its pre-delegated authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as appropriate.

Type of Authority	Position Title Holding Authority	Triggering Conditions
<i>Suspension of Regular Bus Service</i>	<i>General Manager</i>	<i>Physical absence AND inability to reach by pager and/or cell phone</i>

Rules and Procedures for Delegation of Authority

- Vacancies in key positions can occur for a variety of reasons.
- List conditions or events that will trigger the delegation of authority for that key position.
- Tie delegation of authority activation to the level of threat or category of emergency.
- Detail how the designee will assume authority and how staff will be notified.
- Limitations are often restrictions on the duration, extent or scope of the authority.
- Provide training to officials on performance of their emergency duties.

➤ Section II.C.1.b, Worksheet # 23



Limitations on Authority to be Delegated

■ Worksheet #23: Delegation of Authority -- Rules, Procedures and Limitations

WORKSHEET #23: DELEGATION OF AUTHORITY -- RULES, PROCEDURES AND LIMITATIONS

Complete this worksheet for each position identified in the second column of Worksheet #2. Indicate the position on the line below and then list any rules for the delegation that may exist, outline procedures for the delegation including notification of relevant staff of the transfer of power, and limitations on the duration, extent and scope of the delegation.

Position Holding Authority: General Manager

Rules	Procedures	Limitations
<i>If General Manager is physically absent from the facility AND can't be reached by pager or cell phone within 30 minutes</i>	<i>Assistant GM is contacted for decision; In her absence, Operations Manager is contacted; In his absence, etc.</i>	<i>No service schedule changes may be announced without prior consultation with emergency management agency, and subsequent to the change, normal media contacts</i>

Order of Succession

- Orders of succession allow for an orderly and predefined transition of leadership.
- Include an order of succession for ***each key position***.
- Succession planning is not limited to solely management positions.
- Orders of succession is intertwined with determining delegation of authority in an emergency.
- Identify key positions by the **position title**. List the name of the person currently in the position.
- Consider organizational and geographic proximity of the successor.

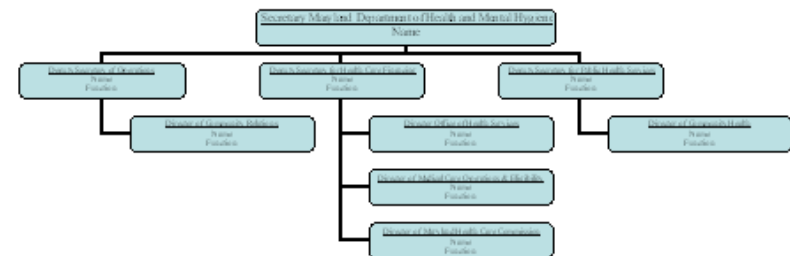
Current Organization Chart

■ Worksheet #24: Current Organization Chart

WORKSHEET #24: CURRENT ORGANIZATION CHART

Using the example organization chart below, complete an organizational chart for your organization. In the chart, remember to provide the title of the organization or division. Also, be sure to include the title, function, and name of the individual for each position.

This worksheet is from the Maryland Emergency Management Agency (MEMA) Continuity of Operations Planning Manual.



Name Key Personnel

- Let's review:
 - Delegations of authority specify who is authorized to make decisions or act on behalf of the department or agency head.
 - Two types of delegation of authority: emergency and administrative.
 - Determine duration, scope and extent of the limitations of authority.
 - Prepare order of succession for all key positions.
 - Include an organization chart with titles, names and contact information.

- Next: Phase II – Selecting an Alternate Facility



Phase II:

Identification of Functional Requirements

Selecting an Alternate Facility

Creating a COOP plan

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➤ Section II.D

Selecting an Alternate Facility

- Pre-position, maintain, or provide for minimum essential equipment for continued operations of essential functions at the alternate operating facilities.
- Several types of alternate work sites and all have different capacity levels.
 - **Hot Site**—all systems and records necessary to begin operations
 - **Warm Site**—some systems and records available, but requires some time and additional resources to become fully operational.
 - **Cold Site**—a location with no pre-installed systems or records from which to begin operations. Least expensive option, but also most timely to begin recovery operations.

Selecting an Alternate Facility

- Factors to consider in selecting an alternate facility
 - **Location** – Risk free environment, geographically dispersed.
 - **Construction** – Safe from high-risk areas.
 - **Space** – Space for personnel, equipment, and systems.
 - **Billeting and Site Transportation** – Consider public access, public transportation, proximity to hotels,
 - **Communications** – Support data and telephone communication requirements.
 - **Security** – Controlled access.
 - **Life Support Measures** – Access to life support measures, food, water and lodging.
 - **Site Preparation Requirements** – Time, effort and cost required to make ready.
 - **Maintenance** – Degree of maintenance required to keep the facility ready.

➤ Section II.D.1



Identify Requirements for Alternate Work Sites

- Identifying the work site needs by essential function.
 - Logistical support and lodging through arrangement with vendors for transportation, hotels, catering, etc.
 - Address the needs of employees with disabilities as required by the federal Americans with Disabilities Act.
 - COOP plan should also address employees' emotional needs.
 - A COOP plan may include provisions for counseling and plan for readjustments of work assignments.

Identify Requirements for Alternate Work Sites

■ Worksheet #27: Requirements for Alternate Work Sites

WORKSHEET #27: REQUIREMENTS FOR ALTERNATE WORK SITES

To complete Worksheet #27, identify the requirements for the alternate work site by essential function. Requirements include personnel, special needs, power, communication, and space.

Area of Responsibility: _____

Essential Function: Highway Maintenance

Example: Relocating a purchasing office from a central location to a field location, so that emergency purchasing can be accomplished

Number of Personnel	Human Needs (special)	Power	Communication	Space Requirements
3		Required for three PCs and one networked printer	Land line telephone, modem access to the internet and remote accessibility to a Wide Area Network, along with access to shared servers, would handle communication.	A space no less than 180 square feet, and include chairs and desk/table arrangements for three persons

Alternate Work Sites

■ Worksheet #30: Transportation, Lodging, and Food

WORKSHEET #30: TRANSPORTATION, LODGING, AND FOOD

Complete the table while identifying the personnel needed for each essential function, arrangements for their work time, keeping in mind that not all personnel will need to be present at all times.

Area of Responsibility: _____

Essential Function: Highway Maintenance

No. of Personnel	Sleeping	Food	Transportation	Vendor Agreements	Support Services
10	Lodging at local hotel	30 meals/day	Van access for off-time errands	Catering on contract	Offer counseling services as needed. Daycare provided at local facility.

Options for Alternate Work Sites

- Possible alternate facilities should accommodate:
 - Immediate capability to perform essential functions under various threat conditions.
 - Sufficient space and equipment to sustain the relocating organization.
 - Ability to communicate with all identified essential internal and external organizations, customers, and the public.
 - Reliable logistical support, services, and infrastructure systems, including water, electrical power, heating and air conditioning, etc.
 - Ability to sustain essential functions for 14 days.
 - Appropriate physical security and access controls.
 - Consideration for the health, safety, and emotional well being of relocated employees and customers, i.e., number of washrooms, parking, accessibility for the disabled, etc.

Selecting an alternate facility

- Let's review:
 - Three types of sites: Hot, Warm and Cold
 - Alternate site considerations: location, construction, transportation, communication, security, preparation requirements, maintenance
 - Identify facility requirements.
 - Special consideration for daycare and counseling.
 - Identify options for alternate sites
- Next: Phase II – Interoperable Communications and Risk Assessment

Phase II:

Identification of Functional Requirements

Interoperable Communications Risk Assessment



Creating a COOP plan

- 7 phases of the COOP planning process
 - Project Initiation
 - Identification of Functional Requirements
 - Identify & Prioritize Essential Functions
 - Identify Vital Records, Systems and Equipment
 - Name Key Personnel
 - Selecting an Alternate Facility
 - **Interoperable Communications**
 - **Risk Assessment**
 - Design and Development
 - Implementation
 - Training, Testing and Exercises
 - Execution
 - Revision and Updating



➤ Section II.E



Identify Alternate Modes of Communication

- Alternative providers and/or modes of communication fill the gap when preventive controls fail.
- One solution is to have separate emergency communication system set up.
- Consider also providing radios, satellite phones or other special communication devices to COOP team members for use in an emergency.
- Interoperability is the ability of a system or a product to work with other systems or products without special effort on the part of the user.
- One consideration is communication between systems at the alternate work site(s) and the primary facility, the EOC or State EOC.

➤ Section II.E



Interoperable Communications

■ Worksheet #34: Communications Systems Supporting Essential Functions

WORKSHEET #34: COMMUNICATIONS SYSTEMS SUPPORTING ESSENTIAL FUNCTIONS

Complete a separate worksheet for each essential function. Review information already gathered on vital systems and equipment for clues on communication systems that support critical processes and services and in turn their associated essential functions. In this chart, list the current vendor and its contact information; the services the vendor is currently providing the agency, and any special emergency services the vendor has to offer.

Essential Function: Highway Maintenance

Communication Mode	Current Provider	Services Provided	Special Services Available	Alternate Provider?
Voice Lines	Verizon	Basic line services	Telephone Service Priority	none
Fax Lines	Verizon	Basic line services	Telephone Service Priority	none
Data Lines	Verizon	Basic line services	Telephone Service Priority	none
Cellular Phones	Verizon	Basic mobile phone service	None	Cingular
Pagers	Verizon	Paging services	None	none
E-Mail	Verizon			
Internet Access				
Instant Messenger Services	none			
Blackberry and Other Personal Digital Assistants (PDAs)	none	/		

➤ Annex B, Worksheet #34

Chain of Communication

- Communication between key personnel, general staff and the public for COOP implementation.
- A rapid recall list is a cascading list of personnel within the organization, and management, in order of notification.
- The list should contain the business, home, pager, and cellular numbers for each individual, and any alternate means of communication.

Rapid Recall List

- **Worksheet #37:**
Personnel Contact List
(Rapid Recall List)
 - COOP Manual, Annex B

WORKSHEET #37: PERSONNEL CONTACT LIST (RAPID RECALL LIST)

The Personnel Contact List is a short document with a cascade call list and other critical phone numbers. The cascade list should include COOP team members, key personnel, organization management and emergency personnel, both inside and outside the organization. The POC will activate the list and initiate the first contact with the organization head and COOP Team.

Employee Cascade List	Email Address	Work #	Home #	Cellular or Pager #
Director Donald Jones	djones@virginia.gov	804-555-1230	804-555-1212	804-555-7890
COOP Team				
• John Smith	jsmith@virginia.gov	804-555-1234	804-555-6987	804-555-4558
• Betsy Green	bgreen@virginia.gov	804-555-1000	804-555-1111	804-555-2222
• Richard Johnson	rjohnson@virginia.gov	804-555-7070	804-555-5551	804-555-7596
• David Henderson	dhenderson@virginia.gov	804-555-1478	804-555-2589	804-555-3698
• Rachel Montgomery	rmontgomery@virginia.gov	804-555-2589	804-555-3214	804-555-4569
Key Personnel & Management				
• Fred Chesterfield	fchesterfield@virginia.gov	804-555-1475	804-555-7536	804-555-9514
• William Martin	wmartin@virginia.gov	804-555-8576	804-555-7852	804-555-4521
• Dustin Sampson	dsampson@virginia.gov	804-555-6589	804-555-5623	804-555-7410
• Beth Reston	breston@virginia.gov	804-555-3571	804-555-8974	804-555-0125
• Ron Thomas	rthomas@virginia.gov	804-555-4112	804-555-1943	804-555-2801
Emergency Personnel		Phone Number(s)		
Fire Department	804-111-1234			
Police Department	804-111-4567			
Ambulance/Emergency Medical Services	804-111-8901			
Virginia Emergency Operating Center	(804) 674-2400			
Employee Emergency Hotline	888-555-1111			

Media Relations & Public Communication

- The media play an important role in disseminating information to the public.
- Great care must be taken in managing contacts with the media to avoid the spread of misinformation and unfounded rumors.
- Organizations should consider having a representative from media relations on the COOP team.
- Press releases and initial scripts should be prepared in advance of disasters or emergencies.
- Address method for communicating with agency's public during a disaster.

➤ Section II.E



Risk Assessment

- A risk assessment is an evaluation of the probability that certain disruptions will occur and the controls to reduce organizational exposure to such risk.
- Agencies should perform a risk assessment as part of COOP planning.

Risk Assessment: Identify Hazards

■ Worksheet #38: Capabilities Survey Template

WORKSHEET #38: CAPABILITIES SURVEY TEMPLATE

Each potential disaster or emergency situation has been examined by the COOP project team. The focus here is on the level of disruption that could arise from each type of event. Potential disasters resulting have been assessed as follows.

Potential Emergency	Probability Rating (See Table Below)	Impact Rating (See Table Below)	Agency Capabilities to Manage Emergency	Disruption Potential (See Table Below)	
<i>Snowstorm</i>	5	2	<i>TBD</i>	3	
<i>Hurricane</i>	3	4	<i>TBD</i>	3	
<i>Terrorist attack</i>	2	4	<i>TBD</i>	4	
<i>Cyber attack</i>	3	4	<i>TBD</i>	4	
<i>Work-place violence</i>	2	2	<i>TBD</i>	2	
PROBABILITY RATING		IMPACT RATING		OVERALL DISRUPTION POTENTIAL	
Score	Level	Score	Level	Score	Level
5	Very High	5	Loss of Agency System	5	Priority
4	High	4	Loss of Critical Systems	4	High
3	Medium	3	Loss of Non-Critical Systems	3	Medium
2	Low	2	Minimal Loss	2	Low
1	Very Low	1	No Loss	1	Very Low
Completed by: Name <i>COOP Team</i>			Date: <i>November 12, 2005</i>		
Reviewed by: Name <i>John Smith</i>			Date: <i>November 14, 2005</i>		

This worksheet is from the National Cooperative Highway Research Program (NCHRP) Project provided to VDEM by the Virginia Department of Transportation (VDOT).

Identify Hazards

- **Describe the hazards that may affect the agency:**
 - Location or geographic area affected by each specific hazard including the hazard's extent or magnitude.
 - Past events & the probability of future events.
 - Appendix F of the State Hazard Mitigation Plan Volume 6 of the Virginia EOP.
 - Hazards that were considered but determined to be of low risk. State they will not be addressed any further.
 - Identify and assess all risks that are not common.
 - Provide sufficient information in order to identify and prioritize appropriate mitigation actions.
 - Impact such as the kind & level of damage, in terms of dollar value, percent of damage, days of duration, etc.

➤ Section II.F



Interoperable Communications / Risk Assessment

- Let's review:
 - Document current communication systems to support essential functions.
 - Implement preventive controls for communications.
 - Identify alternate modes of communications.
 - Plan for media relations and public communication.
 - Develop Rapid Recall List.
 - Conduct risk assessment to identify hazards and evaluate risks.

- Next: Phase III – Design and Development



Phase III: Design and Development

Phase IV: Implementation

Phase V: Testing, Training and Exercises



Creating a COOP plan

- 7 phases of the COOP planning process
 - Project Initiation
 - Identification of Functional Requirements
 - Design and Development
 - Implementation
 - Training, Testing and Exercises
 - Execution
 - Revision and Updating



➤ Section III



Design and Development

- Decide whether the plan should consist of one large plan or of a series of smaller COOP plans, one for each major division of the agency.
- Sections of a COOP Plan:
 - Executive Summary
 - Introduction
 - Purpose
 - Applicability and Scope
 - Authorities and References
 - Assumptions
 - Glossary
 - Cover Page

➤ Section III



Phase IV: Implementation



Creating a COOP plan

- 7 phases of the COOP planning process
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Phase IV: Implementation

- During the implementation phase the COOP plan is put into practical effect
- Address two issues to ensure the support of all employees during implementation:
 - Human Capital Management
 - Family Planning

Human Capital Management

- People make up an organization!
- Human capital management is the process of acquiring, optimizing and retaining the best talent.
- Effective Human Capital Management:
 - Places the right people in the right jobs to perform the agency's essential functions most effectively.
 - Ensures that all employees have a clear understanding of what they are to do in an emergency
 - Includes specific protocols for identifying and assisting special-needs employees.

Family Planning

- Employees will need to focus on maintaining essential functions.
- Focus will be disrupted if the employees are also concerned about their family's safety and security.
- Family planning considerations include:
 - Processes for activating emergency information call in number for employees.
 - A process for accounting for and tracking all employees..
 - Provisions for providing guidance and assistance to employees and their families.
- Employees should develop their own personal plans.

➤ Section IV.B



Go-Kits

- All personnel should ensure that their families have a Go-Kit that is readily accessible in case of an emergency.
 - NOAA Weather Radio with a tone-alert feature
 - Copies of important records
 - Name and phone number of an out of area contact
 - Water –at least 1 gallon per person, per day
 - Food, at least a three-day supply per person of non-perishable food
 - Battery-powered radio and extra batteries
 - Flashlight and extra batteries
 - First Aid kit
 - Whistle to signal for help
 - Dust or filter masks, readily available in hardware stores, which are rated based on how small a particle they filter
 - Moist towelettes for sanitation
 - Wrench or pliers to turn off utilities
 - Can opener for food (if Go-Kit contains canned food)
 - Plastic sheeting and duct tape to “seal the room”
 - Garbage bags and plastic ties for personal sanitation



➤ Section IV.B.2

Phase V:

Training, Testing and Exercises



Creating a COOP plan

- 7 phases of the COOP planning process
 - Project Initiation
 - Identification of Functional Requirements
 - Design and Development
 - Implementation
 - Training, Testing and Exercises
 - Execution
 - Revision and Updating



Phase V: Testing, Training, and Exercises

- Testing, Training and Exercises phase of the planning process is extremely important for employee awareness and readiness.
- Testing, Training and Exercises objectives include:
 - Assess and validate COOP plans, policies and procedures.
 - Ensure that agency personnel are familiar with COOP procedures.
 - Ensure that COOP personnel are sufficiently trained to carry out essential functions in a COOP situation.
 - Test and validate equipment to ensure both internal and external interoperability.

Testing

- A test is an evaluation of a capability against an established and measurable standard.
- Testing is critical for:
 - Alert, notification and activation procedures
 - Communications systems
 - Vital records and databases
 - Information technology systems
 - Major systems at the alternate facility
 - Reconstitution procedures

Training

- Training is instruction in core competencies and skills and is the principal means by which individuals achieve a level of proficiency.
- Training histories and ongoing training plans should be documented
- Training results should be published and identified gaps should be actively tracked and managed.
- A documented schedule should be published and kept current.
- Two main methods of training:
 - Orientation
 - Hands-on Training

Exercises

- Exercises are events that allow participants to apply their skills and knowledge to improve operational readiness.
- The goal of exercising an agency COOP plan is to prepare for a real incident involving COOP activation.
- Three types of exercises:
 - Tabletop
 - Functional
 - Full-scale



Plan Development and Implementation

- Let's review:
 - Design a plan that fits your organization.
 - Plan components: Executive summary, Introduction, Purpose, Applicability and Scope, Authorities and References, Assumptions, Glossary, Cover Page.
 - Follow plan structure in Annex D.
 - Prepare Go-Kits.
 - Testing evaluates capabilities of a system.
 - Develop a training schedule for all personnel involved in COOP planning and activation.
 - Three types of exercises: tabletop, functional, full-scale

- Next: Phase VI – Execution



Phase VI: Execution



Creating a COOP plan

- 7 phases of the COOP planning process
 - Project Initiation
 - Identification of Functional Requirements
 - Design and Development
 - Implementation
 - Training, Testing and Exercises
 - Execution
 - Revision and Updating



➤ Section VI



Building Evacuation Plan & Evacuation Routes/Exits

- The number one objective of any COOP plan should be the ***safety of personnel during a disaster.***
- The goals of a building evacuation plan are to protect lives and property in the event of an emergency.
- All buildings should have designated emergency routes and exits placed on each floor of the building. Inform employees of the emergency routes and exits for their building.

Building Alert Systems

- All buildings should have a system in place to alert employees that there is an emergency that requires them to leave the building.
- Examples of alert systems include fire alarms and building PA systems.

Building Alert Systems

■ Worksheet #39: Building Alert Systems

WORKSHEET #39: BUILDING ALERT SYSTEMS

List the systems that are in place to alert building occupants to evacuate and to shelter-in-place. Also, describe the systems, note their maintenance frequency, and identify any back-up systems.

Building: 1234 Main Street, Richmond

Evacuation Systems	Description	Maintenance Frequency	Back-Up Systems
Building alert system	Warning sirens	Tested quarterly	Intercom system
Building intercom system	Voice-over system	Used daily	email
Shelter-In-Place Systems	Description	Maintenance Frequency	Back-Up Systems
Conference Room 7	CR-7, 4 th Floor, hold up to 100 people	daily	Conference Rooms, 3, 8, and 11

Emergency Evacuation Personnel

- Designate an Emergency Call-In Number
- Designate an evacuation team to ensure building is fully-evacuated:
 - Maintain a current list of all occupants. Check off co-workers who safely reported to assembly point from occupant list.
 - Assist and/or direct occupants with limited mobility either to safe rooms, or down stairs if able to negotiate stairway.
 - Inform occupants to leave the building as soon as possible and go to assembly area.
 - Collect information on missing personnel known, or suspected to still be in the building, and report to emergency personnel.
 - Monitor corridors on floors and ensure personnel are moving toward exits.
 - Check restrooms on floors to ensure they have been evacuated.
 - Make sure fire doors on enclosed stairways and exits are closed and not blocked.

Designated Assembly Area

- Meet at a designated assembly area after evacuation to account for employees.
- Open area away from the building and out of the way of responding emergency personnel.
- Designate more than one assembly area depending on the size of the building and the location of the exits.
- Alternative assembly areas should be identified in the event the main assembly area cannot be used.

Shelter-in-Place

- Deciding to not evacuate the building is referred to as “shelter-in-place.”
- Develop a shelter-in-place plan in the event that evacuating the building would be detrimental to health and safety of your employees.
- You should have a system of alerting your employees to shelter-in-place.

COOP Execution

- A COOP plan can be activated in part or in whole depending upon the disruption or threat.
- Agencies should develop an executive decision making process that:
 - Allows for a quick and accurate assessment of the situation.
 - Provides the best course of action for response and recovery.
- COOP implementation into three time-phased operations:
 - Activation and Relocation
 - Alternate Operating Facility Operations
 - Reconstitution

Activation and Relocation

- “Activation and Relocation” encompasses the initial 12-hour period following activation of the COOP plan.
 - Evacuate and secure building. Activate plans, procedures and schedules to transfer essential functions, personnel, records and equipment to alternate operating facilities.
 - Notify appropriate offices and agencies of COOP activation.
 - COOP Team Deployment for essential personnel, travel and check-in alternate facility.
 - Agencies must be prepared to activate their COOP plans for all emergencies, regardless of warning period. Agencies must also plan to activate their COOP plans during both duty and nonduty hours.

Activation and Relocation

- Relocation involves the actual movement of essential functions, personnel, records and equipment to the alternate operating facility.
 - Transferring communications capability to the alternate facility.
 - Ordering supplies and equipment that are not already in place at the alternate facility.
 - Other planned activities, such as providing network access.

Alternate Facility Operations

- Guiding essential personnel through the transition to the alternate facility will result in quicker COOP implementation.
 - Minimum standards for communication and direction and control.
 - Activation of plans, procedures and schedules to transfer activities, personnel, records and equipment.
 - Securing the primary facility and non-movable equipment and records.
- Establish a reception area and check in processing procedures
 - Personnel must know where to go to check in and receive assignment to their workspaces.
 - Personnel may need information about hotels, restaurants, laundry facilities and medical treatment facilities.

Go-Kits

- Have key personnel create Go-Kits.
- Organizational Go-Kits are packages of records, information, communication and computer equipment and other items related to emergency operations.
- Key personnel should prepare a kit in advance and keep it up to date and available should deployment be necessary.



Sample Go-Kit

■ Worksheet #42: Sample Go-Kit Contents and Maintenance List

WORKSHEET #42: SAMPLE GO KIT CONTENTS AND MAINTENANCE LIST

Item	For Unit	Location	Quantity	Maintenance Performed By	Maintenance Date
Communications Equipment	Programming Dept	Storage Room, 1 st Floor	12	S. Jones	8.8.05
Computer Equipment	Programming Dept	Storage Room, 1 st Floor	12	S. Jones	8.8.05
COOP Plan	Programming Dept	Blue Plastic Bins marked COOP	2	R. Smith	10.15.05
COOP Procedures	Programming Dept	Blue Plastic Bins marked COOP	2	R. Smith	10.15.05
Contact Lists	Programming Dept	Blue Plastic Bins marked COOP	2	R. Smith	10.15.05
Memorandums of Agreement	Programming Dept	Blue Plastic Bins marked COOP	2	R. Smith	10.15.05
Map to Alternate Facility	Programming Dept	Blue Plastic Bins marked COOP	2	R. Smith	10.15.05
Other (List)					

This worksheet is an example from the Federal Emergency Management Agency (FEMA).

Reconstitution

- Reconstitution is the process by which agency personnel resume normal agency operations from the original or a replacement primary facility.
- Emergency specific reconstitution planning should begin as soon as the COOP is implemented.
- Reconstitution is conducted after the emergency or disruption ceases and is unlikely to resume.

Execution

- Let's review:
 - Develop, document and test building evacuation plans, alert systems and evacuation routes/exits.
 - Designate emergency evacuation personnel.
 - Identify assembly area(s)
 - Document shelter-in-place procedures.
 - Outline executive process for COOP activation.
 - Time-phased approach:
 - Activation, COOP team deployment, relocation, devolution
 - Alternate facility operations
 - Reconstitution
- Next: Phase VII – Revising and Updating



Phase VII:

Revising and Updating



Creating a COOP plan

- 7 phases of the COOP planning process
 - Project Initiation
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 - Execution
 - Revision and Updating

Phase VII: Revising and Updating

- COOP planning is a journey.
- Review and update its plans regularly.
- Work does not end with the development and implementation of a COOP program.
- An effective COOP plan will not remain viable without regular review and revision.
- To maintain COOP readiness:
 - Train key personnel.
 - Conduct periodic COOP exercises.
 - Institute of a multiyear process to ensure the plan continues to be updated as necessary.

Establish a Review Cycle

- COOP plans, policies and procedures should be reviewed at least annually.
- Conduct additional reviews following each exercise and the testing of major systems.
- Issues raised in training may also trigger plan review.

Developing the COOP Maintenance Budget

- When developing the budget, be sure to consider costs related to:
 - Planning team time (if required by agency).
 - Plan and procedure development.
 - Hazard Identification and Risk Mitigation
 - Alternate Facility.
 - Interoperable communications.
 - Testing, Training and Exercises
 - Logistics and administration.
 - Security.
 - MOUs/MOAs

➤ Section VII.C.4



Distributing the COOP Plan

- Initial distribution of the COOP plan:
 - Providing personnel with a hardcopy.
 - Distribution via the agency's intranet.
- If intranet/internet access is not available, document procedures and instruct the response team as to the location of the COOP Plan.

COOP Planning Checklist

■ Worksheet #44: COOP Planning Checklist

VDEM may want to use the COOP planning checklist here to guide the COOP plan development process from the beginning, using the left-hand column to track actions and considerations, and/or using the right column to list the page or pages within your plan that refer to that item.

Have I planned for?	Item/Description	Page(s) in our plan
OVERARCHING ITEMS		
Y N	Plan objectives are clearly stated in the opening of the plan.	
Y N	Provisions for the protection of critical equipment, records, and other assets are included in the overall planning process.	
Y N	Provisions are included which maintain efforts to minimize human loss, damage and losses of resources.	
Y N	Considerations for an orderly response and recovery from any emergency are incorporated into the planning process.	
CAPABILITIES SURVEY		
Y N	Vulnerability to natural and man-made emergencies is addressed.	
IDENTIFYING ESSENTIAL FUNCTIONS		
Y N	Essential functions required by law are identified.	
Y N	Essential functions that support public safety are identified.	
Y N	Essential functions that support emergency responders are identified.	
Y N	Essential functions that are required by contract are identified.	
Y N	Essential functions that are time specific are identified.	
Y N	Essential functions that are day-of-the-week specific are identified.	
Y N	Essential functions that are monthly/seasonally specific are identified.	
Y N	Essential functions are prioritized based on above criteria.	
COOP PLAN DEVELOPMENT, REVIEW & APPROVAL/ SUPPORTING PROCEDURES		
Y N	Decision making conditions are clearly outlined for activation.	
Y N	The plan can be activated during non-working hours.	
Y N	The plan can be activated if no person can access or use the facility.	
Y N	The plan can be activated if no person can access the surrounding area.	
Y N	Communication process in times of advance threat warning established.	
Y N	Communication process to notify all agency personnel is established.	
Y N	Communication process is coordinated for all affected decision makers.	
Y N	Communication is coordinated with other agency offices/facilities.	
Y N	Communication is coordinated with external emergency personnel.	
Y N	Communication process is coordinated with key	

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Revising and Updating

- Let's review:
 - Review and update its plans regularly.
 - Train key personnel.
 - Conduct tests and exercises.
 - Develop multiyear strategy and program management.
 - Develop maintenance budget and gain commitment to fund ongoing COOP program.
 - Establish a review cycle.
 - Distribute the COOP plan to key personnel.

Creating a COOP plan

- 7 phases of the COOP planning process
 - Project Initiation
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 - Design and Development
 - Implementation
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 - Execution
 - Revision and Updating

COOP Planning Review

- Resume operations within 12 hours.
- All hazards approach. Activation with or without warning.
- Involve key personnel. Identify COOP Coordinator and facilitate COOP team.
- Identify and prioritize essential functions.
- Identify resources to continue essential functions (records, systems, equipment, personnel, etc.)
- Select an alternate facility or alternate facilities.
- Document plan communication and activation processes.
- Train personnel. Test and exercise.
- Commit to a Multiyear Strategy and Program Management Plan.



COOP Planning Objectives

- Ensure the continuous performance of a department or agency's **essential functions** during an emergency.
- Ensure the safety of employees.
- Protect essential equipment, records and other assets.
- Reduce disruptions to operations.
- Minimize damage and losses.
- Achieve an **orderly recovery** from emergency operations.
- Identify relocation sites and ensure operational and managerial requirements are met before an emergency occurs.

*Remember ... COOP planning
is a journey.*

